



DECLARATION

Patent

4 015110.0058.UTL

Utility Application

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **TRICYCLIC QUINOLINONE AND TRICYCLIC QUINOLINE ANDROGEN RECEPTOR MODULATOR COMPOUNDS AND METHODS** the specification of which

(Check One)

☐ is attached hereto OR

☒ was filed on February 22, 2002 as United States Application Serial No. 10/080,503; PCT International Application No. _____ and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Date of Filing	Priority Claimed	
			Yes	No

I hereby claim the benefit under Title 35, United States Code §119(e) of any United States provisional application(s) listed below.

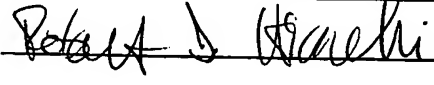
Application Number(s)	Filing Date
60/271,115	February 23, 2001

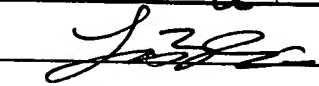
I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s), or § 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

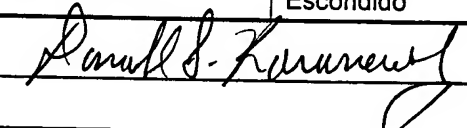
U.S. Parent Application Number	PCT Parent Number	Parent Filing Date	Status-Patented, Pending or Abandoned

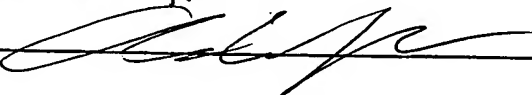
Residence, post office address, citizenship and signature of inventor(s) set forth beginning on next page.

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

201	FULL NAME OF INVENTOR	FIRST Name Robert	MIDDLE Initial I.	LAST Name Higuchi	
	RESIDENCE & CITIZENSHIP	City Solana Beach	State or Foreign Country California	Country of Citizenship U.S.A.	
	POST OFFICE ADDRESS	434 Marview Drive	City San Diego	State or Country California	Zip Code 92075
INVENTOR'S SIGNATURE					DATE 4/12/02

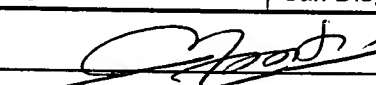
202	FULL NAME OF INVENTOR	FIRST Name Lin	MIDDLE Initial	LAST Name Zhi	
	RESIDENCE & CITIZENSHIP	City San Diego	State or Foreign Country California	Country of Citizenship People's Republic of China	
	POST OFFICE ADDRESS	3988 Via Camargo 7704 Roan Road	City San Diego	State or Country California	Zip Code 92129-30
INVENTOR'S SIGNATURE					DATE 4/17/02

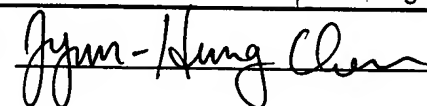
203	FULL NAME OF INVENTOR	FIRST Name Donald	MIDDLE Initial S.	LAST Name Karanewsky	
	RESIDENCE & CITIZENSHIP	City Escondido	State or Foreign Country California	Country of Citizenship U.S.A.	
	POST OFFICE ADDRESS	1797 Continental	City Escondido	State or Country California	Zip Code 92029
INVENTOR'S SIGNATURE					DATE 4/18/02

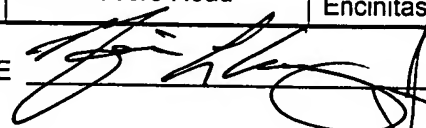
204	FULL NAME OF INVENTOR	FIRST Name Anthony	MIDDLE Initial W.	LAST Name Thompson	
	RESIDENCE & CITIZENSHIP	City San Diego	State or Foreign Country California	Country of Citizenship U.S.A.	
	POST OFFICE ADDRESS	4175 THIRD AVENUE 1755 Reed Avenue #4 APT 211	City San Diego	State or Country California	Zip Code 92109-92103
INVENTOR'S SIGNATURE					DATE 4-18-02

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

201	FULL NAME OF INVENTOR	FIRST Name Thomas	MIDDLE Initial R.	LAST Name Caferro	
	RESIDENCE & CITIZENSHIP	City San Diego	State or Foreign Country California		Country of Citizenship U.S.A.
	POST OFFICE ADDRESS	17537 Matinal Road	City San Diego	State or Country California	Zip Code 92127
INVENTOR'S SIGNATURE _____ DATE _____					

202	FULL NAME OF INVENTOR	FIRST Name Neelakandha	MIDDLE Initial S.	LAST Name Mani	
	RESIDENCE & CITIZENSHIP	City San Diego	State or Foreign Country California		Country of Citizenship India
	POST OFFICE ADDRESS	13109 Russet Leaf Lane	City San Diego	State or Country California	Zip Code 92129
INVENTOR'S SIGNATURE  DATE 04/11/02					

203	FULL NAME OF INVENTOR	FIRST Name Jyun-Hung	MIDDLE Initial	LAST Name Chen	
	RESIDENCE & CITIZENSHIP	City San Diego	State or Foreign Country California		Country of Citizenship Taiwan
	POST OFFICE ADDRESS	7614 Palmilla Drive #58	City San Diego	State or Country California	Zip Code 92122
INVENTOR'S SIGNATURE  DATE 04/15/02					

204	FULL NAME OF INVENTOR	FIRST Name Marquis	MIDDLE Initial L.	LAST Name Cummings	
	RESIDENCE & CITIZENSHIP	City Encinitas	State or Foreign Country California		Country of Citizenship U.S.A.
	POST OFFICE ADDRESS	917 Bracero Road	City Encinitas	State or Country California	Zip Code 92024
INVENTOR'S SIGNATURE  DATE 4/18/02					

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

201	FULL NAME OF INVENTOR	FIRST Name Thomas	MIDDLE Initial R.	LAST Name Caferro	
	RESIDENCE & CITIZENSHIP	City <u>Holly Springs, San Diego</u>	State or Foreign Country <u>California North Carolina</u>		Country of Citizenship U.S.A.
	POST OFFICE ADDRESS	<u>17537 Matinal Road</u> <u>Thornton Green Pl.</u>	City <u>Holly Springs</u>	State or Country <u>California NC</u>	Zip Code <u>92127</u>
INVENTOR'S SIGNATURE		<u>Thomas R. Caferro</u>			DATE <u>5/10/02</u>

202	FULL NAME OF INVENTOR	FIRST Name Neelakandha	MIDDLE Initial S.	LAST Name Mani	
	RESIDENCE & CITIZENSHIP	City San Diego	State or Foreign Country California		Country of Citizenship India
	POST OFFICE ADDRESS	<u>13109 Russet Leaf Lane</u>	City San Diego	State or Country California	Zip Code 92129
INVENTOR'S SIGNATURE		_____			DATE _____

203	FULL NAME OF INVENTOR	FIRST Name Jyun-Hung	MIDDLE Initial	LAST Name Chen	
	RESIDENCE & CITIZENSHIP	City San Diego	State or Foreign Country California		Country of Citizenship Taiwan
	POST OFFICE ADDRESS	<u>7614 Palmilla Drive #58</u>	City San Diego	State or Country California	Zip Code 92122
INVENTOR'S SIGNATURE		_____			DATE _____

204	FULL NAME OF INVENTOR	FIRST Name Marquis	MIDDLE Initial L.	LAST Name Cummings	
	RESIDENCE & CITIZENSHIP	City Encinitas	State or Foreign Country California		Country of Citizenship U.S.A.
	POST OFFICE ADDRESS	<u>917 Bracero Road</u>	City Encinitas	State or Country California	Zip Code 92024
INVENTOR'S SIGNATURE		_____			DATE _____

SIGNED IN COUNTERPARTS

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

201	FULL NAME OF INVENTOR	FIRST Name James	MIDDLE Initial P.	LAST Name Edwards	
	RESIDENCE & CITIZENSHIP	City San Diego	State or Foreign Country California		Country of Citizenship U.S.A.
	POST OFFICE ADDRESS	8723 Hesby Court	City San Diego	State or Country California	Zip Code 92129
INVENTOR'S SIGNATURE <u>James P. Edwards</u> DATE <u>09 APR 02</u>					

202	FULL NAME OF INVENTOR	FIRST Name Mark	MIDDLE Initial E.	LAST Name Adams	
	RESIDENCE & CITIZENSHIP	City San Diego	State or Foreign Country California		Country of Citizenship U.S.A.
	POST OFFICE ADDRESS	3512 Seahorn Circle	City San Diego	State or Country California	Zip Code 92130
INVENTOR'S SIGNATURE _____ DATE _____					

203	FULL NAME OF INVENTOR	FIRST Name Charlotte	MIDDLE Initial L.F.	LAST Name Deckhut	
	RESIDENCE & CITIZENSHIP	City San Diego	State or Foreign Country California		Country of Citizenship U.S.A.
	POST OFFICE ADDRESS	3105 Kalmia Street	City San Diego	State or Country California	Zip Code 92104
INVENTOR'S SIGNATURE _____ DATE _____					

204	FULL NAME OF INVENTOR	FIRST Name	MIDDLE Initial	LAST Name	
	RESIDENCE & CITIZENSHIP	City	State or Foreign Country		Country of Citizenship
	POST OFFICE ADDRESS		City	State or Country	Zip Code
INVENTOR'S SIGNATURE _____ DATE _____					

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

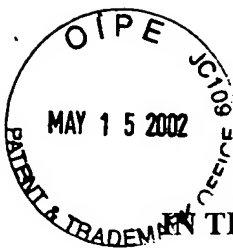
201	FULL NAME OF INVENTOR	FIRST Name James	MIDDLE Initial P.	LAST Name Edwards	
	RESIDENCE & CITIZENSHIP	City San Diego	State or Foreign Country California	Country of Citizenship U.S.A.	
	POST OFFICE ADDRESS	8723 Hesby Court	City San Diego	State or Country California	Zip Code 92129
INVENTOR'S SIGNATURE _____ DATE _____					

202	FULL NAME OF INVENTOR	FIRST Name Mark	MIDDLE Initial E.	LAST Name Adams	
	RESIDENCE & CITIZENSHIP	City San Diego	State or Foreign Country California	Country of Citizenship U.S.A.	
	POST OFFICE ADDRESS	3512 Seahorn Circle	City San Diego	State or Country California	Zip Code 92130
INVENTOR'S SIGNATURE <u>Mark E. Adams</u> DATE <u>4/19/02</u>					

203	FULL NAME OF INVENTOR	FIRST Name Charlotte	MIDDLE Initial L.F.	LAST Name Deckhut	
	RESIDENCE & CITIZENSHIP	City San Diego	State or Foreign Country California	Country of Citizenship U.S.A.	
	POST OFFICE ADDRESS	3105 Kalmia Street	City San Diego	State or Country California	Zip Code 92104
INVENTOR'S SIGNATURE <u>Charlotte Deckhut</u> DATE <u>4/10/02</u>					

204	FULL NAME OF INVENTOR	FIRST Name	MIDDLE Initial	LAST Name	
	RESIDENCE & CITIZENSHIP	City	State or Foreign Country	Country of Citizenship	
	POST OFFICE ADDRESS		City	State or Country	Zip Code
INVENTOR'S SIGNATURE _____ DATE _____					

SIGNED IN COUNTERPARTS



Patent
015110.0058.UTL

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

Applicant: Robert I. Higuchi, *et al.*

Serial No.: 10/080,503

Filed: February 22, 2002

For: TRICYCLIC QUINOLINONE AND
TRICYCLIC QUINOLINE
ANDROGEN RECEPTOR
MODULATOR COMPOUNDS
AND METHODS

)
) Group Art Unit: 1614

)
) Examiner: Not Yet Assigned

GRANT OF POWER OF ATTORNEY

Commissioner for Patents
Washington, D.C. 20231

Sir:

As representative of the assignee of an entire interest in the above-identified application, the undersigned hereby appoints as attorneys for the assignee herein, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith, John M. Benassi, Reg. No. 27,483; Richard L. Blaylock, Reg. No. 43,503; Diana L. Bush, Reg. No. 51,109; Bradford

CERTIFICATE OF MAILING
(37 C.F.R. §1.10)

I hereby certify that this paper (along with anything referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as 'Express Mail Post Office To Addressee' in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231.

EL573388505US
Express Mail Label No.

May 15, 2002
Date of Deposit

J. Gibbs
Name of Person Mailing Paper

Signature of Person Mailing Paper

J. Duft, Reg. No. 32,219; Jeffrey W. Guise, Reg. No. 34,613; Michael J. Hostetler, Reg. No. 47,664;
Lee Hsu, Reg. No. 39,716; Kurt M. Kjelland, Reg. No. 41,901; Stephen S. Korniczky, Reg.
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No. 48,086; Peter R. Munson, Reg. No. 43,821; Douglas C. Murdock, Reg. No. 37,549; Vicki G.
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John E. Peterson, Reg. No. 45,894; Jonathan L. Pettit, Reg. No. 40,770; Franklin D. Ubell, Reg.
No. 27,009; Peter D. Weinstein, Reg. No. 43,251; Anatoly S. Weiser, Reg. No. 43,229; Howard
N. Wisnia, Reg. No. 37,502 and Jessica R. Wolff, Reg. No. 37,261 of Brobeck, Phleger & Harrison
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Respectfully submitted,

LIGAND PHARMACEUTICALS
INCORPORATED

Dated: 4/15/02

By: 

Name: Warner R. Broaddus

Title: General Counsel, Vice President and
Secretary
as Representative for Ligand

RHP/dlc

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